

**Individual Tax Residency Self-Certification Form**

**個人稅務居民自我證明表格**

(Applicable to Automatic Exchange of Financial Account Information (“AEOI”) and Foreign Account Tax Compliance Act)  
(適用於自動交換財務賬戶資料(AEOI)及美國外國賬戶稅務合規法案(FATCA))

Customer Information 客戶資料	
Customer Name: 客戶名稱:	Account No: 賬戶號碼:

<b>Part 1 Automatic Exchange of Financial Account Information (AEOI)</b> <b>第 1 部 自動交換財務賬戶資料(AEOI)</b>
<b>1 Important Notes 重要提示：</b>
<ul style="list-style-type: none"> <li>● <b>This is a self-certification form provided by an account holder to Well Link Securities Limited and its affiliates (together “WLSL”) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by WLSL to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.</b> 這是由賬戶持有人向立橋證券有限公司 或其附屬公司（統稱「立橋證券」）提供的自我證明表格，以作自動交換財務賬戶資料用途。立橋證券可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局</li> <li>● <b>An account holder should report all changes in its tax residency status to WLSL.</b> 如賬戶持有人的稅務居民身分或其他資料有所改變，應盡快將所有變更通知立橋證券。</li> <li>● <b>All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by WLSL to the Inland Revenue Department.</b> 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號 (*) 的項目為立橋證券須向稅務局申報的資料。</li> </ul>

<b>2 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *</b> 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）*			
Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a <b>resident for tax purposes</b> and (b) the account holder’s TIN for each jurisdiction indicated. Indicate <b>all</b> (not restricted to five) jurisdictions of residence. 提供以下資料，列明 (a) 控權人的居留司法管轄區，亦即控權人的稅務管轄區（香港包括在內）及 (b) 該居留司法管轄區發給控權人的稅務編號。列出所有（不限於5個）居留司法管轄區。			
If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card number. 如控權人是香港稅務居民，稅務編號是其香港身份證號碼。			
If a TIN is unavailable, provide the appropriate reason A, B or C: 如沒有提供稅務編號，必須填寫合適的理由A, B或r C:：			
<b>Reason A</b> 理由 A	The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents. 控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。		
<b>Reason B</b> 理由 B	The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason. 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。		
<b>Reason C</b> 理由 C	TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。		
<b>Jurisdiction of Residence</b> 居留司法管轄區	<b>TIN</b>	<b>Enter Reason A, B or C if no TIN is available</b> 如沒有提供稅務編號，填寫理由 A、B 或 C	<b>Explain why the controlling person is unable to obtain a TIN if you have selected Reason B</b> 如選擇理由 B，解釋控權人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

**Part 2. Foreign Account Tax Compliance Act**  
**第 2 部 美國外國賬戶稅務合規法案(FATCA)**

**Important Notes 重要提示：**

- The account holder is advised to refer to the US IRS website (<http://www.irs.gov/>) for details in respect of FATCA.  
賬戶持有人如要瞭解FATCA法案詳情，閣下可參閱美國國家稅務局網站 (<http://www.irs.gov/>) 資訊。
- The account holder shall be fully responsible for the confirmation of his/her/its FATCA status and other information submitted hereunder.  
賬戶持有人應對其確認的FATCA 身份及在本文件內提供的其他信息承擔全部責任。
- The account holder shall ensure the information given and statements made in this form are true, correct and complete, WLSL shall not be liable for any errors or loss that results from such information and statements.  
賬戶持有人應確保於本表格內所填報的所有資料和聲明真實、正確和完備。立橋證券不對該等資料和聲的任何錯誤或導致的任何損失承擔任何責任。
- WLSL is unable to offer any tax or legal advice to the account holder. For any related question, the account holder is advised to consult his/her/its tax and legal advisors.  
立橋證券不能向賬戶持有人提供任何稅務及法律意見。如有相關疑問，請賬戶持有人聯絡其稅務及法律顧問。

Please tick either (1) or (2) or (3) and complete as appropriate:

請在下列其中一個方格內加上「」號：

- |                            |   |
|----------------------------|---|
| 1 <input type="checkbox"/> | I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes (Green Card Holder or resident under the substantial presence test).<br>本人確認，本人就課稅目的而言為美國公民及／或美國居民（綠卡持有人或根據實質居留測試被定性為居民）。   |
| 2 <input type="checkbox"/> | I confirm that I was born in the U.S. (or U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the Certificate of Loss of Nationality of the United States.<br>本人確認，本人在美國（或美國境內）出生但不再屬於美國公民，原因是本人自願放棄本人的公民身份，並以美國「喪失原有國籍證明」為憑證。 |
| 3 <input type="checkbox"/> | I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.<br>本人確認，本人就課稅目的而言並非美國公民或美國居民。  |

The substantial presence test is generally met with respect to any calendar year if (a) the individual is present in the U.S. at least 31 days during such year and (b) the sum of the number of days in which such individual is present in the U.S. during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.

如就任何曆年有下列情況，一般即屬已通過實質居留測試：(a)該名個人在該年度內在美國居留至少31天；及(b)該名個人在該年度內在美國居留的天數，與其在前一年度內居留天數的三分之一及再前一個年度內居留天數的六分之一的總和，相等於或超過183天。

**Part 3 Declarations and Signature****第3部 聲明及簽署**

I acknowledge and agree that (i) the information contained in this form is collected and may be kept by WLSL for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the controlling person and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with tax authorities of another jurisdiction or jurisdictions in which the controlling person may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人知悉及同意，立橋證券可根據《稅務條例》（第112章）有關交換財務賬戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務賬戶資料用途及（b）把該等資料和關於控權人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

I certify that I am the controlling person / I am authorized to sign for the controlling person # of all the account(s) held by the entity account holder(s) to which this form relates.

本人證明，就與本表格所有相關的實體賬戶持有人所持有的賬戶，本人是以控權人簽署本表格。

I undertake to advise WLSL of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide WLSL with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知立橋證券，並會在情況發生改變後30日內，向立橋證券提交一份已適當更新的自我證明表格。

**I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.**

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature of the controlling person

控權人簽署

Capacity:

身份:

Date:

日期:

(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the +power of attorney. 如您不是第1部所述的個人，說明您的身分。如果您是以受權人身分簽署這份表格，須夾附該+授權書的核證副本。)

Controlling person name:

控權人姓名:

The power of attorney must be in a form satisfactory to the Company. Please note that any existing Letter of Delegation provided by the Company and signed by an account holder will not give the authority to the appointed attorney(s) to sign this form on behalf of the relevant account holder. 授權書必須採用本公司滿意的形式。請注意，由本公司提供及經賬戶持有人簽署的任何現有授權書(Letter of Delegation) 將不會授權委任的代理人代表有關的賬戶持有人簽署本表格。

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).**

根據《稅務條例》第80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級（即\$10,000）罰款。